

· 管理科学专业 ·

中国人民大学工商管理学院策划

MBA 专业精品教材

世界经济
管理文库

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/ 著



(英文版·第5版)

新产品管理

New Products Management

(FIFTH EDITION)



机械工业出版社



McGraw-Hill

C. Merle Crawford: New Products Management-5th ed.

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RISBN 007116149X

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本书版权登记号: 图字: 01-98-0771

图书在版编目 (CIP) 数据

新产品管理: 第5版: 英文/(美)克劳福德 (Crawford, C. M.) 等著. - 影印本.
- 北京: 机械工业出版社, 1999.1
(MBA 专业精品教材)
ISBN 7-111-06444-5

I. 新… II. 克… III. 产品-生产管理-英文-影印本 IV. F273.2

中国版本图书馆 CIP 数据核字 (98) 第 14309 号

出版人: 马九荣 (北京百万庄大街 22 号 邮政编码 100037)

责任编辑: 江颖

审读人: 马晓斌

北京昌平第二印刷厂印刷·新华书店北京发行所发行

1999 年 1 月第 1 版第 1 次印刷

787mm×1092mm 1/16 ·34.25 印张

定价: 53.00 元

凡购本书, 如有缺页、倒页、脱页, 由本社发行部调换

出版者的话

在全球经济一体化的激烈竞争格局中，中国正处于前所未有的经济与产业结构调整与转型的关键时期。飞速发展的社会与错综复杂的变革要求我们的经济与管理水平有一个飞跃。

为了能让读者系统地学习、借鉴国际上先进的管理理论、方法和手段，机械工业出版社从一些世界著名出版公司引进了一批一流品质的经济管理名著，组成了这套《世界经济管理文库》。其中所选图书均为当前国际上最为流行和权威的教材，大部分多次修订重版，有的多达十几版。作者都是哈佛、芝加哥、斯坦福等著名商学院的教授，使您足不出国，便可领略世界知名学府的文化精粹。

为了给中国的MBA教学提供一套完整的MBA系列教材，继与清华大学经管学院、加拿大毅伟管理学院合作共同策划出版的《国际通用MBA教材》与《国际通用MBA教材配套案例》丛书之后，近期，我社又和中国人民大学工商管理学院联手，共同策划本套《MBA专业精品教材》丛书。《国际通用MBA教材》涉及了所有的MBA核心课程，而本套《MBA专业精品教材》包括了MBA各个不同专业方向的全部课程及选修课程，它为各类工商管理学院培养更适

合社会需要的专门管理人才提供了丰富的教材资源库。全套丛书按专业分类,包括经济学、战略管理与组织、管理科学、财务与金融管理、会计、市场营销、商务技能等7大系列、60多个品种。

为了保持原作的原汁原味,这套丛书是以英文原版的形式出版的。这样可以避免因翻译而造成的歧义和出版时间的滞后,以便让读者能亲身体味原作者的精彩文风;并在第一时间洞悉经济管理学科各个领域的最新学术动态。

由于作者所处的社会、政治环境的不同,书中所述难免有不妥之处,请读者在阅读时注意比较和鉴别,真正消化吸收其中的精华,这也就达到了出版者出版本套丛书的目的。我们真诚地希望这套《世界经济管理文库》的出版,能为提高中国的MBA教学水平、推动中国的改革开放事业尽点绵薄之力。

机械工业出版社

1998年8月

序 言

当前，我国正处于知识经济初露端倪的时代，管理科学已经成为兴国之道，这给我国工商管理教育带来新的机遇与挑战。今年9月，又将有4000余名工商管理硕士生满怀着理想与希望进入各大学学习。一大批机关分流干部与经贸委系统的管理人员也要经过入学考试，在职学习并申请工商管理硕士学位。如何办好工商管理硕士（MBA）项目，为国家和社会培养出一批又一批符合市场需求的高质量的工商管理硕士，是全国可以授予工商管理硕士学位的56所院校所共同考虑与研究的问题。

在这里，MBA课程设计是成功的关键环节之一。记得在1984年的夏天，在加拿大国际开发总署的资助下，加拿大蒙特利尔大学、麦吉尔大学、康克迪亚大学以及魁北克大学蒙特利尔分校的教授们为中国人民大学的年轻教师讲授了管理经济学、会计学、管理学以及管理信息系统等MBA课程。在1985年夏天，加拿大的教授们又讲了另外4门MBA课程。当时，我并没有真正了解这些MBA课程与我过去所学的管理课程在实质上有多大的区别，也没有理解这些课程之间的内在联系，对于MBA核心课与选修课以及专业的主修与副修的区别与联系更是知之甚少，只是感

到加拿大教授的教学在内容和手段上与我们传统方式有较大的区别。1988年初，我到加拿大麦吉尔大学管理学院研修后，才真正对MBA的课程设计有所了解。此后，我先后到美国布法罗纽约州立大学管理学院与澳大利亚悉尼科技大学管理学院任教，又对MBA课程之间的内在联系有了更切身的体会。为了更好地了解美国MBA教育的新潮流，今年6月，我又随中国管理学院院长代表团考察了美国著名管理学院，出席了在芝加哥举办的“全球管理教育论坛会”。

综观北美的工商管理教育，在全球化、信息化与整合化的挑战下，实在是强调其实用性。纵然有的教授学者看重自己的象牙宝塔，勾画着纯理论的模型与理论。但在MBA的教育上，美国现有的750余所管理学院，特别是为美国管理学院联合会（The American Assembly of Collegiate School of Business, AACSB）所承认的300余所管理学院，培养目标明确，课程设计体现出其为社会需求与市场服务的宗旨，没有半点的含糊。美国著名的管理院校明确自己的教育使命，把视野放在全球与创新上，不断地迎接新的挑战，将所授的知识与社会的实际需求密切地结合起来，期望培养出真正的高质量的管理人才。例如，哈佛商学院明确地提出，该院的使命是“影响企业的实践”，培养全面的管理者（general managers），指出“我们要对企业的领导人在如何完成他们的工作上，即在他们如何提出与解决问题、确定战略方向和采取行动上施加重大的影响。同时，我们鼓励从实践中获得反馈，以便了解这些领导人如何在实践中应用我们的思想与知识，从而进一步发展与提炼我们的理论与知识。”麻省理工学院斯隆管理学院的使命“尊重有用的工作”，“为产业提供服务”，提出“作为管理教育与研究的世界领导者，麻省理工学院斯隆管理学院要培养能在快速发展与高度竞争的全球企业环境中获得成功的管理者。当前持续不断的技术创新已成为每个产业各个方面生产力和增长的关键，因此，这正是我们的时机。”伯克利加利福尼亚大学商学院从学院的成立始，就将教育的重点放在国际与企业家的舞台上，研究迅速发展的全球经济，为学生提供创新的学习机会。

根据上述的使命，美国著名的管理学院教育模式基本上有三大流派：一是以哈佛商学院为代表的培养全面管理人员的模式。斯坦福商学院的培养方式也是属于这种模式。他们培养的是全面的MBA，而不是专业化的MBA，通过

为学生提供必要的专业知识，使之毕业以后成为企业或其他组织中高层的有效的全面管理者，而不是职能部门的管理人员。二是以芝加哥大学管理学院为代表的培养专业管理人员的模式，其方向是为企业和组织培养专业的管理人员。斯隆商学院亦属于这种类型。三是介于两者之间的模式。美国多数管理院校采用的是这种培养目标，如伯克利商学院、西北大学的凯洛格商学院、洛杉矶加州大学、康乃尔大学管理学院以及杜克大学管理学院等。因此，各个管理学院在其课程设计上有着不同的战略重点。

哈佛商学院MBA课程设计的思路是“在日益增长的全球商务环境中，提高学生进行战略性与关键性思考的能力。”斯坦福商学院MBA课程设计的思路是“确保学生获得管理运行的知识，了解企业运行的经济、政治和社会环境，以及掌握作为管理者所必须的行为技能。”同时，“MBA项目也要设计成为一种可以终身学习的模式。这样，今天的学生将在今后贯穿其事业的复杂而快速变化的管理世界中有能力自如地作出调整。”斯隆管理学院MBA课程设计的思路是“对日益增长的市场全球化和密集的竞争正在改变工作性质的这一事实作出反映。”哥伦比亚商学院MBA课程设计的思路是“让学生掌握作为管理者能够在全全球经济中进行有效竞争所需的基本学科与应用的职能领域。”

总之，这些学院在设计MBA课程时，首先，考虑的是学生要了解全球的竞争环境。其次，考虑学院所在的地域和环境。例如，哥伦比亚商学院极其强调该院处于纽约这个金融中心，其战略重点是国际、金融和纽约，培养出的学生要适合在国际大城市从事金融工作。因此，该学院在课程设计上就对财务与金融等相关课程有所侧重。再次，考虑学院自身资源的特点，如斯隆管理学院在技术管理上设置较多的课程，而哈佛商学院则在全面管理与竞争战略课程上有所突出。最后，要使学生获得相关的专业知识，了解研究与实践的前沿，如企业伦理、领导精神、创新、以及企业与政府关系等。

在课程设计的内容上，美国管理学院根据自己的情况，多按传统划分为核心课程与选修课程。课程内容上并不划一，门数上也多少不等。在学习核心课之前，学生要预先学习计算机应用和技能、商务沟通以及基本数量分析方法等课程。在核心课上，各学院基本上开设了经济学、统计或数据分析、会计、财务、市场营销、运作管理、组织行

为、人力资源管理、战略管理以及公共管理等课程。当然,也有例外。芝加哥大学管理学院就不设置核心课。在选修课程上,除哈佛商学院外,各学院基本上设置了专业,如管理经济学(Managerial Economics)、会计(Accounting)、财务管理(Financial Management)、税收(Taxation)、管理科学(Management Science)、信息系统(Information Systems)、市场营销(Marketing)、组织行为学(Organization Behavior)、人力资源管理(Human Resource Management)、国际商务(International Business)、战略管理(Strategic Management)以及公共管理(Public Management)等。最具特色的是斯隆管理学院的课程设计。该学院除了设计出体现管理基础原理和技能的六门核心课以外,根据学生今后所从事的工作方向,创造性地设计自我管理模块(Self Managed Track)与管理模块(Management Track)。自我管理模块包括应用宏观与国际经济学、财务管理或财务理论、信息技术、产业关系与人力资源管理、运作管理导论和市场营销导论等六门课。如果学生希望将来从事较为全面的管理工作,则可以选择自我管理模块。而学生希望成为更专业的管理人员,则可以选择管理模块。在这个模块中,有六个分模块,即战略管理与咨询(Strategic Management and Consulting)、新产品与风险开发(Product and Venture Development)、信息技术与企业变革(Information Technology and Business Transformation)、金融工程(Financial Engineering)、财务管理(Financial Management)以及制造与运作(Manufacturing and Operations)。这种设计打破传统职能性课程的框架,切实反映市场的声音,力图符合具体职业领域的要求,使学生能在今后的工作中更快地进入某个具体的管理角色。

我国工商管理硕士教育总体来说,还处在试点阶段之中。在课程设计上,全国工商管理硕士教育指导委员会规定了核心课的指导大纲。经过多年的建设,MBA核心课的教材已经初步满足教学的需求。当然,在质量上还有待进一步完善。随着MBA教学的深入发展,一些院校在培养全面管理人员的基础上,进一步根据自己院校的区域环境和办学条件,探索开设专业方向,以便培养出更适合社会需要的专门管理人才。这就对课程设计提出了新的要求,希望有更专门化的课程支持不同的专业方向。这不仅对教师的科研提出了更高的要求,而且对教材的建设也提出新的

需求。教材不足便是当前工商管理教育中最大的困惑之一。

为了满足工商管理专业方向的发展以及相应的课程设计,在中国人民大学工商管理学院的策划下,机械工业出版社推出了英文版的《MBA专业精品教材》,填补教学用书中空白,力图缓解MBA各专业教学上的急需。在这套丛书中,我们精心选择了北美在经济学、战略管理与组织、管理科学、财务与金融管理、会计、市场营销以及商务技能等7个专业的英文版教材,期望对国内各管理学院所开设的管理专业有所帮助。同时,有志于学好MBA某个专业的管理人员、研究生甚至本科生也可以通过系统地学习该专业所列的教材,掌握个中三昧。

当然,在学习西方的管理理论与经验时,需要认真对待其内在的文化底蕴。正如同样是绘画,西方的绘画注重光线与颜色,体现出一种形象思维,而中国画则注重线条,体现出内在的逻辑思维,从而表现出中国文化与西方文化的差异。本世纪初以来,我国知识分子一直在研究与吸收西方文化,力图西学中用。正如有人所讲,学习的方法有三种形式,一是鸟瞰的方法,二是仰视的方法,三是平视的方法。鸟瞰者,持才傲物,看不起其他民族的文化,更看不起其他民族的管理理念与方法。仰视者,自卑自弃,看不起自己民族的文化,盲目追求其他民族的管理理念与方法。要真正作到西学中用,而不是仅仅学到一些皮毛的话,则需要运用平视的方法,拉开距离,去观察与学习世界上一切优秀的管理理念与方法。今天,我们利用西方的管理理论与实践,是为了更合理地推动中国的管理教学与科研,促进中国的管理实践。切不可邯郸学步,而是真正做到“以我为主、博采众长、融合提炼、自成一家”。

徐=明 博士

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中国人民大学工商管理学院院长
全国MBA教育指导委员会委员
1998年盛夏于北京

The ideas in this book have percolated over my entire business lifetime, and they have been tested in years of college classes. However, they have also been enlarged, adapted, and tested in use with some 5,000 executives, both here at the University of Michigan and in the offices and training facilities of many firms here and abroad. To them I dedicate this fifth edition. Thanks for your help.

New products have always been of interest to both academics and to practitioners, but organized, college-level instruction on the subject of new products management traces to the 1950s. But by the 1990s a new products management discipline has evolved. The Product Development and Management Association has flowered to over 2,000 members in some 30 countries around the world, over 300 colleges have courses on the subject of new products, and the field's journal, the *Journal of Product Innovation Management*, is now successfully into its 13th year of publication. The job of new products manager or director is becoming much more common and is offering much earlier entry than 10 years ago; we also see the emergence of higher level positions for careers to build to. The association has raised the issue of certification, is now very much an international operation, and has been able to do what many others have not—that is, merge the thinking and activity of professors and practitioners.

How This Book Views the Field of New Products Management.

Such exploding growth means that we still take a variety of approaches to the teaching of the new products subject—management, marketing science, technical, creative, design, and so on. This book provides the management approach, with a marketing slant. In every organization (industry, retailing, government, churches, etc.) there is a person or group of persons who, knowingly or unknowingly, are charged with getting new goods and services (both are products) onto the market. More and more today those people are new products managers or project managers or team leaders. They lead a truly multifunctional group of people, with the perspective of a general manager, operating as a company within a company. They must deal with the *total task*—strategy, organization, concept generation, evaluation, technical development, marketing, and so on. They are not finished with their work until the new product has achieved the goals assigned

to the team—this usually means some form of sales or profit, and it certainly means the task is not finished when the new product is put onto the shipping dock.

Consequently, we now try to avoid a common functional bias—it is rare today to hear that “R&D runs our new products activity” or that “marketing tells everyone what to do.” When a functional specialist takes over a new products team, that person must learn the general manager viewpoint, regardless where he or she reports in the firm.

Furthermore, this book calls on all of the contributing disciplines, stresses recent research findings, and strives for a level of sophistication equal to that of the best practitioners in this field. Instructors wishing to emphasize any of the specialty viewpoints within the general field of new products management will want to supplement the book with specialized material.

On the other hand, this book is not a research report on *typical* industry practice. It goes well beyond that and includes experimental work conducted by the more advanced practitioners and conceptual developments by academics.

Some Basic Beliefs That Guided the Writing

People who have used the first four editions of this book know my unique viewpoints on the subject. But for newcomers, and of course all students are newcomers, here are some of them.

1. Product innovation is one single operation in an organization. It has parts (strategy, teams, plans, etc.) but they are all just parts. Any operation that runs as separate pieces misses the strength of the whole.

2. The field is still new enough that it lacks a systematic language. This makes it very difficult for students, who are accustomed to studying subjects where a term means something, and only that something. I wish this were so in new products. What should we do—slip and slide around over the many terms and their variations? I believe we should not, and proposed a set of terms in the third edition of this book that seemed to fit and deserve consideration. The Glossary was accepted, so it has been expanded and strengthened in this edition. The terms are used consistently throughout the book, and I urge students to accept them. Some of the new terms proposed will survive, and others will die a quiet death, losing out to different and better terms that become widely accepted. The Glossary is found in Appendix E and I encourage use of it.

3. Ideas learned without application are only temporary residents in your mind. To become yours, a concept must be applied, in little ways or in big ones. Thus, the book is peppered with applications, short cases, and other opportunities for using the concepts studied. Projects are encouraged in the Instructor's Manual. There are even more examples from the business world, and up-to-date references on all important topics.

4. As much as I would like them, and have diligently tried to find them, I believe there are no standard sets of procedure for makers of consumer

packaged goods or of consumer durables, industrial goods, services, etc. There are no recipes.

Like a marketing plan and a production plan, there is a best plan for any particular situation. A manager must look at the situation and then compile a set of tools and other operations appropriate to that situation. All large firms use scores of different approaches, not one.

5. This leads to a favorite “ouch” of mine—the *halo* effect. The halo effect hurts the field of new products more than anything else—more than competition, more than government, more than tight budgets. The halo effect shows in the statement “It must be a good thing for us to do—3M does it, GE does it, or Hewlett-Packard does it.” Those are excellent companies, but one reason they’re good is they spend lots of time and money studying, learning from others. They have huge training programs in product innovation and bring in every expert who appears on the scene with what looks like a good new products management idea. They assume everything they do is wrong and can be improved. You should too. This book does. Citations of their actions are given as examples, not recommendations. These well-known firms have many divisions, and hundreds of new products under development at any one time. Managers there don’t even know what each other is doing, nor do they care, in the prescriptive sense. Each group aims to optimize its situation, so they look around, see what others in comparable situations are doing (inside and outside their firm), and pick and choose to fit them. To the extent there are generalizations (e.g., there should be some form of strategy), these will stand out as you work your way through the course. But what strategy to choose—and exactly how one should determine it—becomes situational.

6. An example of this lies in the next belief—should new products strategy rest on the base of technology or market? This choice has been argued for many years. But the argument is usually specious, moot. Most firms seek to optimize both, a sort of dual-drive strategy. Of course, true to the previous point, firms will build on one or the other if the situation seems to fit—for instance, DuPont’s platform program to find applications for the superstrength fabric Kevlar, or auto components firms who rely on OEM (original equipment manufacturer) engineering to spell out exactly what they want. And yet, DuPont works to advance that technology, and the components firms are evolving their own engineering operations!

So, the great variety in approaches used by businesspeople is not a testimony to ignorance, but to thinking. On a majority of the issues facing us today, intelligent people can come down with different views. Don’t misunderstand, one view is not necessarily better than the other, but it is made better by its defense, not by who said it or who used it.

Decisions are the same—they are not necessarily right or wrong at the time they are made. Instead, the manager who makes a decision has to *work hard to make that decision turn out right*. The quality of the work is more important than the quality of the decision. An example of this phenomenon is the sadness we feel when a manager says, “We’re looking for the really great idea.” Managers of product innovation *make* ideas great, they don’t *come* that way.

7. Lastly, I have tried to implement more clearly the view that *two* things are being developed—the product and the marketing plan. Two development processes are going on in tandem. Marketing strategy begins at the very start and runs alongside the technical work and beyond it. This means that the chapters on marketing have to first recap all that has happened before the time for actually writing out a marketing plan.

Changes in the Fifth Edition

This is an aside to teachers—past and potential adopters of *New Products Management*. First, much work on the fourth edition focused on the multifunctional process that has evolved so strongly in product innovation. We have always been multifunctional (marketing, finance, manufacturing, etc.), but now cooperation has turned into collaboration, committees into teams, and teams into small companies within big companies. You will find this multifunctional aspect appearing throughout the book, especially in “Technical Development” (Part IV). Allied with this has been an effort to tie topics horizontally—the product innovation charter is not covered in Chapter 4 and then forgotten—later chapters show how it used. The same for evaluation—the topic shows up first in Chapter 2 and concludes only after a successful launch in Chapter 22.

Second, since the first edition, there has been the issue of whether the material should be grouped by topic (e.g., ideation, evaluation, marketing) or by actual operating sequence in the firm. The fourth edition took up the operational view, and this fifth edition extends it. After concept generation comes Part III on “Pretechnical Evaluation,” followed by Part IV on “Technical Development.” Product use testing is now in Part IV, as a part of the technical development activity. That’s where business does it, and it learns best that way. Market testing now follows development of marketing plans, because that is where it occurs in real life. The organizational topics stay early in the technical development phase, where they were moved in the fourth edition. Financial analysis has moved up from Chapter 19 to Chapter 11, as requested by many users.

Another influence of cross-functionalization of the field has been a threat to functional courses. New products management is, more often than not, a marketing course. But the marketing people in business are finding themselves deeply involved in technical matters, in manufacturing process problems, in dealing with vendors, in arranging meetings between their engineers and customers, and many other such activities. Functional battles between technical, manufacturing, and marketing people are indefensible, whether on new products or on the established business.

This means that the book now considers nonmarketing views as they naturally come up. We don’t pigeonhole engineers to Chapter Y, or industrial designers to Chapter Z.

Third, special effort has been made to pull the pieces together because, after all, that is the way we run new product operations these days. Teams deal with *all* of the issues—manufacturing people help plan marketing strategy, and a

scientist will participate in process development. The A-T-A-R model precedes technical development.

Fourth, several new chapters have been added. A new Chapter 2 explains the key concepts driving product innovation today. These concepts (e.g., continuous stakeholder involvement, pretechnical product and marketing plan requirements, and a triple stream process) operate throughout the course, not just in one section of the book. Second, the product protocol has gained such industry support (deliverables, requirements, call it what you wish) that it required a separate chapter (Chapter 12). Third, to cover the full analytical process in marketing strategy, a third marketing chapter was required (Chapter 19). Some reductions came in eliminating the “Future” chapter and in consolidating the public policy discussion into one chapter.

Fifth, effort has continued (and intensified) to make the book relevant to its users. Since a text revision is actually a new product, I have tried to make it even more customer-oriented. The publisher invested twice as much money in the review process. Product examples, cases, and applications stress products that students buy and use.

New terms are included, as used in business, even though some of them will turn out to be buzz words—*fuzzy front end*, *continuous learning*, and *platforms*. One part of the “Future” chapter was retained in a new Appendix F—that was the set of 48 guidelines that can be used to appraise any organization’s new products program.

And, though not yet in cyberspace, where some future edition must certainly come forth, this edition introduces several interaction activities—where a challenge in a chapter has its answers at the end. Another user-driven change was to use bold font on all special terms as they first appear.

Sixth, the cases have been strengthened. Five are new, three were rewritten and lengthened, and several others received experience-based tweaking.

Seventh, the index was made much more detailed, and special effort has been made to consider the special needs of the business-to-business world, service developers, high-tech firms, designers, and those with a more global viewpoint. Such topics are interspersed at many points.

Eighth, there was a strong effort to improve graphics. Many list figures have been replaced, and there is a much stronger Power Point presence.

It was a major revision, and I sincerely hope it meets your needs. A new Instructor’s Manual, reflecting the changes in this edition, is available through the Irwin representative.

To the Practitioner

Because this book takes a managerial focus and is updated extensively, it is useful to the practicing new product manager. It has been used in many executive education programs. Great pains have been taken to present the “best practice” of industry and offer footnote references to business literature.

The Applications

From the first edition, the ends of chapters do not have a list of questions. Rather, I have culled from many conversations with students questions and comments they received from business managers on their fly-backs. These comments are all built into a conversation with the president of a conglomerate corporation. Explanation of how to use them is given at the end of Chapter 1.

Merle Crawford

Many persons help write a book of this type, and it is impossible to thank them all. Great aid came from the staff of the Document Retrieval Department of the Michigan Business School Kresqe Library.

From business, hundreds have helped—on field trips and during executive seminars. Scores of former students have given generously of their ideas, by telephone calls, campus visits, and the many things they have sent me. Academic colleagues continue making probably the greatest direct contribution, by reacting to previous editions. Thanks also to the especially thoughtful and constructive reviewers recruited by Richard D. Irwin:

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